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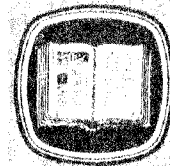
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Codifying College Library Policy

by Martha Biggs

Librarian, Arthur Somerville Reid Memorial Library
Lake Forest College, Lake Forest, Illinois

The college library, by being part of the collegiate institution and under its management, is bound by any general or specific statements in its college charter and by-laws to follow the policy there laid down. Within this structure the policies by which the library is governed must be framed. The library of an institution for higher education is no longer a mere storehouse for scholarly works, preserved without regard to the everyday needs of the students and faculty in the institution. As Raymond Hughes has pointed out:

The library must at all times be the center of the intellectual life of a college or university, from which the accumulated knowledge of the ages flows freely to each department. If the library is inadequately financed or if its administration is ineffective in making all its resources easily available, the flow of knowledge, past and present, is impeded or wholly cut off from some or from many departments. Unless each department can draw easily and surely, according to its needs, on such knowledge as an adequate library can supply, the institution cannot be maintained at a high level of service(1).

The college librarian must know the relation of his library to the rest of the institution: what provision was made for it in the original documents establishing the institution, what developments have followed, what the position of the librarian is in the hierarchy of the college, and what methods can be used to provide the best service to patrons to further the aims of the institution. While attempting to draw up a policy for the government of a college library it became apparent that very few college libraries have such rules in addition to their charter and by-laws. The present study(2) was made in 1948 to obtain information on this phase of administration for the small college; the questionnaire method was employed, its purpose being to learn the present practice in regard to codes of library government, and to find what a given code should contain.

In choosing the colleges to which to send the questionnaire the major aim was to have as large a group of colleges as possible, representing reasonably similar backgrounds in organization, objectives, and financial control. To accomplish this purpose the following criteria were used: (a) that the college be a four-year degree conferring institution, (b) that it be coeducational, (c) that it be privately controlled, (d) that it be accredited by a recognized regional or state accrediting agency, and (e) that it be in the United States.

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No attempt was made to limit the study to schools of a similar size except to eliminate very large universities whose organizational plan and financial background could not be compared with the majority of colleges circularized. The institutions varied in size from 130 to 5000 enrollment, the majority coming within the range from 600 to 1500. By checking two standard guides to colleges, a list of 214 institutions meeting all the above requirements was compiled(3). Sixty percent of the questionnaires sent to the librarians of those colleges were returned. Only 111 were filled out completely enough to be usable for this study, and from them the following information was obtained.

The design for the questionnaire was drawn with the idea of a logical progression from the beginning of a library to the goals sought for it. The questions asked were divided roughly into the following six groups: (a) the college government and the library, (b) the physical library, its contents and divisions, (c) personnel, (d) administration, including financing and the library's objectives, (e) the library committee, and (f) codes for library government. The interrelation of the questions asked is acknowledged and of course would affect an interpretation of the results. All the factors affecting one institution, however, cannot apply to all those in another institution, so the figures in the tabulation can be regarded only as a means of indicating the frequency of one practice or another in a large number of colleges, and of showing by weight of numbers that one or another practice has been generally accepted.

College Government and the Library

All colleges and universities receive their authorization by specific action of the individual states rather than under the authority of one uniform act of the Federal Government. The law varies slightly from state to state and so the form and name of the authorizing act may vary, but the fundamental points with which they are concerned are similar. This accounts for some institutions having charters, others having articles of incorporation, and still others being authorized by special legislative acts. The distinction between such terms as charter, articles of incorporation, by-laws, and statutes is important to a discussion of the organization of the college, and therefore to the government of the library. "The by-laws of a college may be likened to the statute laws of a commonwealth, the charter or articles of incorporation corresponding to the constitution of the state"(4). The charter of the college is concerned mostly with the general statement of authorization. On the other hand, the by-laws of the governing body are the rules by which the institution operates, and if they fail to contain a reference to the library some other method of directing its policies should be provided.

The first section of the questionnaire was devoted to historical material in order to learn whether the age of the governing regulations had any connection with the fullness with which provision for the library was made. In all cases the mention of the library in these rules could hardly be called informative or helpful to the director of the library. Undoubtedly many of the libraries in those institutions are operating on a policy based largely on tradition and expediency.

No statement can be made to the effect that the date of the charter has a bearing on the fullness of mention of the library. Two colleges with charters granted in 1885 and 1887 mention the librarian as a member of the faculty and authorize library purchases, respectively. Three librarians note the following mention of the library in the charters of their institutions: (a) a 1929 charter, listing the librarian's duties and responsibilities; (b) a 1930 charter revision, including the librarian with the faculty; and (c) a charter revised in 1936, giving among the purposes of the college "to provide libraries". All other librarians reporting,

whether their college was chartered as early as 1732 or has a charter revision as late as 1944, state that no mention of the library occurs. Tables 1 and 2 show the

TABLE 1. TYPES OF LEGAL INSTRUMENTS AUTHORIZING THE INSTITUTIONS

Type of Authorization	Number of Institutions
Charter	46
Articles of incorporation	22
Charter and articles of incorporation	39
Other	1
No answer given	<u>3</u>
Total	111

kind of authorizing acts and governing rules under which the 111 colleges operate. The dates of their founding cover the years from 1732 to 1929, the majority being within the nineteenth century. Several librarians noted that frequent charter revisions had been made.

TABLE 2. RULES OF THE GOVERNING BODY OF THE INSTITUTIONS

Type of Rules	Number of Institutions
By-laws	84
Statutes	3
By-laws and statutes	8
Other	4
No answer	<u>12</u>
Total	111

Sixteen institutions in by-laws, statutes, or other rules of the governing body mention the library and librarian, but none covers the topic completely. The fullest mention is contained in the by-laws of a college which lists duties and qualifications of the librarian and requires an annual report to the board of trustees. The other fifteen give one or more of these, or mention the librarian as a faculty member, speak of the formation of a library committee of the board of trustees, or of the faculty. On the assumption that additional codes for library government are a comparatively recent development, the librarians were asked whether any principles of library policy had been codified for their libraries, and if so, in what form this codification was presented. Sixteen answered affirmatively and eight submitted rules or policies for examination, which will be discussed later.

The Physical Library

The term "physical library" was used here to mean the library building or its housing, and the materials owned by the college for library purposes. The library building is not of concern here except as it is the house in which the library is maintained, and thus comes under the managerial jurisdiction of the librarian. On the other hand, the contents of the library produce a picture from which much can be

gained in interpreting the problems which will arise in its administration. A definition of the contents of the library does not seem to be generally considered necessary by the librarians reporting. Thirty-six gave no answer to the question, and 51 indicated that there is no official statement of what constitutes library materials. Twenty-four names several places where such statements might be found. College catalogs frequently offer some accounting of such a nature, especially the mention of gifts, special collections, and numerical accountings of library holdings. Other statements appear in the various codes or working policies mentioned, while still other librarians say that staff handbooks include the information.

TABLE 3. ADMINISTRATION OF DEPARTMENTAL LIBRARIES

Administering Agent	Number of Institutions
Chief librarian	19
Assistant librarian	6
Chief librarian and assistants	10
Head of academic department	12
Chief librarian and head of academic department	2
Clerical and student help	2
No answer to question	<u>3</u>
Total	54

Departmental libraries vary in definition from college to college and are administered according to their size, location, and the funds available for personnel. The tabulation in Table 3 shows that in 14 of the 54 institutions which have departmental libraries, academic personnel administer or participate in administering them. Some librarians reported that a collection made on departmental loan and circulated from the office of the head of the department is called a departmental library.

Personnel

Faculty status and rank are important to the librarian who for many years was considered merely a custodian for building and books. The formal distinction between status and rank, as indicated from the answers received, may affect the librarian in a number of ways. Status usually includes attendance at faculty meetings, marching in the academic procession, and allows insurance and pension benefits, as well as giving a certain social standing in the college community; while rank may be the deciding factor in regard to voting in faculty meetings, membership on faculty committees, and participation in certain academic activities. As Table 4 shows, only nine report no faculty status for the chief librarian. The variation in rank can be attributed to many factors involving the pay and education of the incumbent, whether or not the librarian is also a teacher, and the presence or absence of a clear statement of policy by the college concerning the librarian's rank and tenure.

It should be pointed out that the large number of non-answers to the question on the status of the professional staff is due in some measure to the fact that several of the librarians indicated elsewhere that there was no professional staff, assistance being by students or clerical workers. A general tendency in the past

TABLE 4. FACULTY STATUS AND RANK OF LIBRARIANS

	Chief Librarian	Professional Staff
Faculty status	101	62
No faculty status	9	30
No answer to question	1	19
Rank:		
Professor	23	
Associate professor	20	
Assistant professor	20	8
Instructor	6	21
Administrative officer	4	
Librarian	2	
"Varies"	4	12
No rank	3	5
Question not answered	<u>19</u>	<u>16</u>
Total	212	173

two decades to give faculty status and some sort of rank to librarians, even though they do not teach, has grown until now it is recognized by most administrators as the accepted practice. The designation of rank varies from place to place depending on the classification plan used in the institution. It is the practice in the majority of cases for the president of the college to appoint the librarian, with or without consultation with the board of trustees (see Table 5). The professional staff also is appointed by the president in his position as an agent of the board of trustees. In many cases, however, the librarian recommends appointments to the president or appoints with the president's approval. In a few cases the librarian seems to be a free agent in the appointment of the staff.

TABLE 5. APPOINTMENT OF LIBRARIANS

Appointing Agent	For Chief Librarian	For Professional Staff
President	52	25
President and board of trustees	24	9
President and dean	4	2
Board of trustees	19	12
President and librarian		22
Librarian		7
Librarian with approval of board of trustees and president		5
Other (committee of faculty, dean, or committee of board of trustees)	9	4
No answer	<u>3</u>	<u>25</u>
Total	111	111

Administration

Ideally library administration connotes the complete direction of the library and its personnel, including staff selection and direction, acquisition of materials for increasing the resources of the library, rules for the use of library materials by the readers, and the public relations involving liaison between administration, faculty, and students in all matters pertaining to the library. The relation of the librarian and library staff to the college administration indicates the place of the librarian in the hierarchy of the college. Table 6 shows that 70% of the librarians reporting have a definite understanding of their relationship to the college administration, yet only 14% show that this information could be gained from the college by-laws or other regulations, since only 16 of the 111 colleges mention the library in their charters or by-laws. Some of the answers in Table 6 are

TABLE 6. RELATION OF LIBRARIAN AND STAFF TO COLLEGE ADMINISTRATION

Responsibility	No. of Libraries
To president	32
To president through dean	9
To dean	4
Member of administrative staff	20
Same as faculty member	8
Departmental	2
Other	8
No official statement	2
No answer	<u>26</u>
Total	111

ambiguous. Those who answer "same as faculty member" and "departmental" are probably stating that their responsibility is to the president or dean. "Other" here refers to the board of trustees or to some combination of the first four groups. The table does show, however, that in most of these libraries the lines of authority are clearly established.

Table 7 shows the practice in regard to the specific duties allocated to the librarian, and that additional activities not necessarily concerned with library management are relatively few in number. Some librarians suggested that fuller cooperation and understanding could be gained between the faculty and library staff if there were more official contacts of the librarian with the faculty and administration by participation in committee work and curricular planning. It is obvious that the delegation of library duties to others is dependent upon size of staff and the particular training of personnel in special fields, although the need for some continuity in planning is a foregone conclusion. Such planning will vary considerably as staff personnel changes and cannot be specifically stated except for the purpose of indicating lines of authority.

The dependence of library administration upon stated objectives is evident. Indeed, objectives are a prerequisite to planning of any kind, and hence are the substance on which the administrative planning is founded, and so form the basis for the evaluation of library services. Library objectives are primarily the same as

TABLE 7. SPECIFIC DUTIES ALLOCATED TO THE LIBRARIAN

Duties	Librarians Reporting
Administrative only	75
Administrative and library committee chairman	2
Administrative and conferences with president on policy	1
Administrative and instructor	2
Administrative and secretary of educational policies committee	1
No official statement	<u>7</u>
Total	88

those of the college, and are completely dependent upon them. The library's statement will be expressed in terms somewhat different from those for the college as a whole, since it is the instrument through which those objectives are gained.

Table 8 shows that the statement of library objectives occurs most frequently in the college catalog in the section describing the library and its functions in the college program. It is understandable that the statement given in the catalog would be general in nature. To provide a more useable pattern for the management of the library the general statement should be enlarged and made more specific. If a code of practice is being prepared this statement deserves a prominent place. Statements of objectives appearing in faculty handbooks, working policies and committee reports are also effective, but reach only limited groups. In fact, repetition of the statement of purposes in more than one of these places is worthwhile, so that all interested persons may have access to it. Only 31 colleges reported an

TABLE 8. LOCATION OF STATEMENT OF LIBRARY OBJECTIVES

Location of Statement	Number of Institutions
College catalog	14
Annual report of librarian	1
Faculty handbook	1
Working policy	3
Library committee report	2
Statement given but location not mentioned	10
No statement given	<u>63</u>
Total	94

actual statement of library objectives in existence for their institutions.

The library objectives which were examined were those which could be found in college catalogs, or were in the handbooks or codes submitted for examination. They all included general ideas given in greater or less detail as the desires of the writer demanded. Certain ideas common to most of them were that the purpose of the library is (a) to teach the students the use of library materials and materials for

research, (b) to encourage good habits of reading and study, (c) to broaden students' interests, (d) to provide the necessary materials to meet curricular and research requirements, and (e) to meet community research needs. The statement often contained some definition of library materials as such, and mentioned the method by which the library expected to attain the objectives outlined.

One of the things that the charter or by-laws seldom fails to contain is a statement on disbursement of moneys for the educational purposes of the institution. In the case of many of these documents the statement is general only, although in a few cases it involves the only mention of the library. In most cases the general statement will indicate the officer of the college who is designated as the college purchasing agent, and it is assumed that all financial matters pertaining to the library will pass through this officer's hands at some point. The question of allocating funds for library materials, however, refers to the segment of financial dealings which is within the librarian's scope.

TABLE 9. AGENCIES HAVING POWER TO ALLOCATE FUNDS FOR BOOK PURCHASES

Allocation by	Number of Institutions
Librarian	36
Library committee	19
Librarian and library committee	34
Librarian with approval of president	6
Librarian, library committee and finance committee	2
Consultation with departments	1
President	2
Business office	2
Treasurer of institution	1
Board of trustees	1
President and comptroller	<u>1</u>
Total	105

Table 9 indicates that in 93% of the reporting libraries the librarian is included as a budgetary planner. Participation in budgetary matters generally means, in the case of the library budget, allocation of funds for the purchase of library books and periodicals. Regardless of the source of the funds (whether from gifts, endowment, or fees), that portion set aside for the library will have to be apportioned under certain categories covering replacements, continuations and serials, periodicals, and departmental purchases of books. Assuming that the librarian is a member of the library committee, Table 9 shows that in only 7 of the 105 cases reported does the librarian not have any voice in the allocation of funds for book purchases. The practice varies somewhat as to who assumes the advisory capacity in the cases in which the librarian does not have the full budgetary responsibility, or even an advisory vote.

Library Committee

The faculty committee on the library is common in the majority of American colleges and has been so from the beginning of their history. Whether it is appointed or elected will be decided by the college governing body in its rule on standing

committees, or by the faculty body. Of 98 colleges reporting a library committee, 80 have an appointed committee; 11, elected; 1, a combination of appointment and election; and 6 failed to designate the method of selection. Two of the committees no longer function, although they still exist according to the reporting librarians. The usual functions of such a committee are advisory (86 out of the 98 cases), including liaison duties between the faculty and librarian. The powers of this committee, however, can be of such a nature as to interfere with the work of the librarian and impair the full effectiveness of the library program. In 43 of these 98 colleges, the library committees are concerned mainly with budgetary matters, and in six of these cases the librarians indicated that the committee recommendations in regard to the allocation of funds for book purchases are mandatory.

Codes for Library Government

The query "Do you feel a need for a fuller definition of library administrative policy?" ended the questionnaire. Of 76 answers to the question, 42 either have such a codification of policy or expressed a need for it. Many librarians added remarks to the questionnaire which contradicted their statement that no additional code was desirable. They undoubtedly felt that the status quo was satisfactory for the present, but visualized certain points on which a clarification of policy might eventually be necessary. Three who answered "no" also said that a clarification on salary and tenure would be helpful.

Not all librarians may have the same type of policy statement in mind, as is evident from the eight submitted for examination. They represent seven different ways of presenting such rules for library government, and vary greatly in the detail and manner of their presentation. The oldest policy reported was prepared in 1929, while several are very recent, having been in use only since 1947 or 1948. Sixteen report codes already in use, and 26 feel the need of such a codification in addition to charter and by-laws provisions. The samples submitted run the gamut from rules and regulations for the library, to operating manuals for a college. The various titles for these codes are indicative of the type of rules used, and in a few cases of the method of presentation to the college administration.

One college has what is called "Working Policy" which is a definite statement of 27 specific duties delegated to the librarian. The listing of these points produces a creed by which the librarian can be guided, and mentions all the points that might be expected to arise. It begins, for example, with "To execute such policies and regulations of the faculty as may be delegated by the president"; includes reference to technical and readers' services, and by whom these services shall be performed; and ends with "To represent the college at professional library association meetings".

A faculty handbook, in mimeographed form, includes along with other regulations of the college the rules and regulations of the library, and instructions to the faculty in regard to reserve collections, interlibrary loans, and routines for book selection and purchase. It is an informative manual, prepared for faculty use, but does not attempt to state policies or objectives except by implication. A similar book, mimeographed also, is entitled "Operating Manual" and is intended as a rule book for the use of the college faculty and staff. It outlines in detail the functions and duties of the various members of the college faculty and administration, as well as giving college aims, by-laws, and policies concerning salary, rank and tenure. The librarian is included in the outline as one of the officers of administration, and his functions are given in some detail with regard to the management of the library, personnel, and reporting to the governing body of the institution.

A small university submitted a copy of recently adopted statutes which refer to the library. Statements are made on the title of the librarian and his duties and responsibilities, the definition of what constitutes the library, the status of the librarian, what group rules on individual cases of tenure and promotion, and a very complete statement as to the composition, powers, and duties of the library committee. A small midwestern college has attacked the problem of codification in a less common though no less effective manner. A faculty committee, working with a committee of the trustees, formulated a constitution for the faculty to define the duties of faculty members and to put in writing some policies governing the faculty. One short paragraph gives the librarian's duties in regard to the administration of the library, the line of his authority to the governing body of the college, and the authority for purchase of library materials. This general statement is amplified in the by-laws of the constitution, which place the librarian as an administrative officer with faculty status, define library resources, account for the composition and appointment of a library committee, and give its chief duties which are advisory, advisory-budgetary, and liaison.

The "Functions of the Library Committee" submitted by one college as a codification of policy lacks the inclusiveness found in the policies mentioned above, but has done for the committee what a code might do for the library -- laid down aims and objectives to follow. Similarly, the library committee minutes of a small university set down the aims and purposes of the university and lists points for their furtherance. It enumerates the type of material to be provided for student use, e.g., reference, visual aids, and cultural materials for the research pursuits of the college and local communities. It should be noted that these aims are drawn up in addition to the college by-laws which mention administrative duties, personnel, and budgeting powers of the librarian, and together round out an adequate statement of library policy. Several answers to the questionnaire state that with fine library-faculty-administration relations no statement of policy was needed. Another group, small but articulate, said that the fewer the rules for the library the better.

Summary

The foregoing material has been assembled to show whether a written code is desirable. The reader must draw his own conclusions as to whether it is clear that some regulatory statements, though not written down nor codified in any one place by 95 of the reporting librarians, are understood by them as the policy of the library. Since the trend toward a written code is reasonably new, conclusions cannot be drawn as to a preference for one form of policy rather than another. The planning of such a policy must be the result of much investigation, a careful study of the aims and policies of the institution as well as of the charter and by-laws under which it operates. It should be undertaken as a guide to the librarian, with the approval and cooperation of the president, and should be flexible enough to meet the changing needs of the college, but should not be considered as a final and irrevocable rule.

Louis R. Wilson pioneered in this field when he drew up the formal statement of rules for the University of North Carolina Library in 1928, representing the statement of "The policy as inaugurated in 1906-7"(5). These rules have been followed by many large institutions in drawing up codes or revising statutes and can be of use to smaller ones. In the expectation that some college librarians are interested in planning a policy for library government, the following points are suggested for consideration:

- I. A clear definition of the physical aspects of the library
 - A. What college-purchased materials belong to the library.
 - B. Whether or not there are departmental libraries, and if so where located and whether under department or library control.
- II. An unequivocal statement in regard to personnel.
 - A. Status and tenure of the director and the library staff, both professional and clerical.
 - B. The relation of the librarian to the controlling body of the college and the officer to whom he is directly responsible.
 - C. The librarian's major duties in library administration, and where his authority begins and ends.
 - D. Any additional duties commonly assigned to him.
 - E. Right of participation of the whole library personnel in group benefit plan.
- III. Objectives of the library in relation to those of the college.
 - A. As an instructional unit.
 - B. As an aid to research.
 - C. Additional services to students, faculty and the community.
- IV. A statement concerning library finances.
 - A. Who makes decisions on budget requirements for purchases or materials for library purposes, and for purchase or library equipment.
 - B. What role the library committee plays in budget planning.
- V. A statement on the library committee.
 - A. How it is chosen.
 - B. Its composition.
 - C. Term of office of its members.
 - D. Its principle functions, and what absolute powers it may exercise, if any.

It should be emphasized that individual circumstances will preclude the inclusion of certain points, and will govern the physical form of the document. To make such a statement effective an effort should be made to have it accepted officially by the administration, and to have it circulated to all who will be affected by its provisions.

FOOTNOTES

(1) Raymond M. Hughes, A Manual for Trustees of Colleges and Universities (Ames, Iowa: The Collegiate Press, Inc., 1943), p. 101.

(2) The full report (32p.) of this study, in typewritten form, is in the University of Illinois Library School Library.

(3) A list of schools was compiled from Carter V. Good, ed., A Guide to Colleges, Universities, and Professional Schools in the United States (Wash., D.C.: American Council on Education, 1945) and this list checked against the listing of A. J. Brumbaugh, American Universities and Colleges (Wash., D.C.: American Council on Education, 1948) for accreditation in 1946-1947.

(4) Floyd W. Reeves, et al., The Liberal Arts College (Chic.: Univ. of Chic. Press, 1932), p. 64.

(5) Policy of the University Library (Chapel Hill, N.C.: Univ. of N.C.) 2p. (mimeo.).

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